

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Thomas J. Daley, et al.  
Serial No.: 10/767,699  
Filing Date: January 29, 2004  
Art Unit: 3624  
Confirmation No.: 5670  
Examiner: Unknown  
Title: *SYSTEM AND METHOD FOR CONTROLLING  
THE DISCLOSURE OF A TRADING ORDER*

**Mail Stop Amendment**

Commissioner of Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

**INFORMATION DISCLOSURE STATEMENT**

Applicants respectfully request, pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, that the references listed on the attached PTO-1449 form be considered and cited in the examination of the above-identified patent application. The present application was filed after June 30, 2003. Therefore, under the July 11, 2003 waiver of 37 C.F.R. § 1.98(a)(2)(i) by the U.S. Patent and Trademark Office, copies of the U.S. Patent Application Publications listed in the attached PTO-1449 form are not enclosed. A copy of the International Search Report is enclosed for the convenience of the Examiner. No representation is made that a search has been made, that these references are material to patentability, or that these references qualify as prior art.

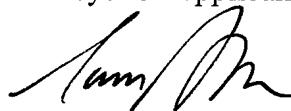
The items contained in this Information Disclosure Statement were cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. §1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement.

**REMARKS**

Pursuant to 37 C.F.R. § 1.97(b), Applicants believe this Information Disclosure Statement has been filed before the **issuance/mailing** date of the first Office Action. Therefore, Applicants believe no fee is due. However, if a fee is required, the Commissioner is hereby authorized to charge any fees or credit any overpayments to Deposit Account No. 02-0384 of Baker Botts L.L.P.

Respectfully submitted,

Baker Botts L.L.P.  
Attorneys for Applicants



Samir A. Bhavsar  
Reg. No. 41,617

Date: May 17, 2007

Correspondence Address:

Customer No. **05073**

PTO-1449	Application No. <b>10/767,699</b>		Applicant(s) <b>Thomas J. Daley, et al.</b>	
	Docket Number <b>069547.0174</b>	Group Art Unit <b>3624</b>	Filing Date <b>January 29, 2004</b>	

**Information Disclosure Citation  
In an Application**

**U.S. PATENT DOCUMENTS**

		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
	A	2003/0216932 A1	11/20/2003	Foley	705	1	11/07/2002
	B	2004/0143538 A1	07/22/2004	Korhammer, et al.	705	37	01/21/2003
	C	2004/0215538 A1	10/28/2004	Smith, et al.	705	35	04/24/2003
	D	2005/0055304 A1	03/10/2005	Lutnick, et al.	705	37	07/13/2004
	E	2006/0149662 A1	07/06/2006	Nordlicht, et al.	705	37	03/07/2006
	F						
	G						
	H						

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	I							
	J							
	K							
	L							
	M							

		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
	N	<i>Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US06/30638; 8 pages.</i>	04/20/2007
	O		
	P		

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

U.S. PATENT AND TRADEMARK OFFICE